

GABRIELLA SHEFFIELD, CFP[®], AIF[®], MSBA

This brochure provides supplemental information about Gabriella Sheffield. This supplements the NWAM, LLC dba Northwest Asset Management ADV Part 2A brochure, which should have also been provided to you. Please contact us at 206.838.3680 or by email at info@nwasset.com if you have any questions or wish to request a copy of the ADV Part 2A brochure.

Additional information about NWAM, LLC dba Northwest Asset Management is also available at the SEC's website www.adviserinfo.sec.gov (select "investment adviser firm" and type in our firm name). Results will provide you both Part 1 and 2 of our Form ADV.

ITEM 1 – COVER PAGE BROCHURE ADV PART 2 B

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INDIVIDUAL CRD# 5409494
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ITEM 2 – EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

Gabriella Sheffield, CFP®, AIF®, MSBA

Year Born: 1985

Educational Background:

Master of Science of Business Administration (MSBA), Financial Planning and Taxation, San Diego State University (2015)

Bachelor of Science (BS), Management Science, University of California, San Diego (2007)

Business Background:

02/2018 – Present: *Investment Advisor Representative*, NWAM, LLC dba Northwest Asset Management

05/2016 – 02/2018: *Wealth Manager*, Advanced Practice Advisors, LLC

02/2015 – 05/2016: *Wealth Advisor*, Gupta Wealth Management, LLC

10/2014 – 02/2015: *Support Advisor*, Gupta Wealth Management, LLC

08/2012 – 09/2014: *Senior Registered Client Service Associate*, UBS Financial Services Inc.

Professional Designation:

CERTIFIED FINANCIAL PLANNER™ (CFP®)

Accredited Investment Fiduciary® (AIF®)

Explanation of Designation:

CFP®: (CERTIFIED FINANCIAL PLANNER™)

The CERTIFIED FINANCIAL PLANNER™, CFP® and federally registered professional certification marks (collectively, the “CFP® marks”) granted by the United States by Certified Financial Planner Board of Standards, Inc. (“CFP® Board”).

The CFP® certification is a voluntary certification; no federal or state law or regulation requires financial planners to hold a CFP® certification.

To attain the right to use the CFP® designation, an individual must satisfactorily fulfill the following requirements:

- Education – Complete an advanced college-level course of study addressing the financial planning subject areas that CFP Board’s studies have determined as necessary for the competent and professional delivery of financial planning services, and as of January 2007, attain a Bachelor’s Degree from a regionally accredited United States college or university (or its equivalent from a foreign university). CFP Board’s financial planning subject areas include insurance planning and risk management, employee benefits planning, investment planning, income tax planning, retirement planning, and estate planning;
- Examination – Pass the comprehensive CFP® Certification Examination. The examination includes case studies and Client scenarios designed to test one’s ability to correctly diagnose financial planning issues and apply one’s knowledge of financial planning to real world circumstances;

- Experience – Complete at least three years of full-time financial planning-related experience (or the equivalent, measured as 2,000 hours per year); and
- Ethics – Agree to be bound by CFP Board’s Standards of Professional Conduct, a set of documents outlining the ethical and practice standards for CFP® professionals.

Individuals who become certified must complete ongoing education and ethics requirements in order to maintain the right to continue to use the CFP® marks.

This requires 30 hours of continuing education hours every two years, including two hours on the Code of Ethics and other parts of the Standards of Professional Conduct, to maintain competence and keep up with developments in the financial planning field; and renewal of an agreement to be bound by the Standards of Professional Conduct. The Standards prominently require that CFP® professionals provide financial planning services at a fiduciary standard of care. This means CFP® professionals must provide financial planning services in the best interests of their Clients.

CFP® professionals who fail to comply with the above standards and requirements may be subject to CFP Board’s enforcement process, which could result in suspension or permanent revocation of their CFP® certification.

AIF®: Accredited Investment Fiduciary®

The AIF Designation certifies that the recipient has specialized knowledge of fiduciary standards of care and their application to the investment management process. To receive the AIF Designation, the individual must meet prerequisite criteria based on a combination of education, relevant industry experience, and/or ongoing professional development, complete a training program, successfully pass a comprehensive, closed-book final examination under the supervision of a proctor and agree to abide by the Code of Ethics and Conduct Standards. To maintain the AIF Designation, the individual must annually attest to the Code of Ethics and Conduct Standards, and accrue and report a minimum of six hours of continuing education annually. The Designation is administered by the Center for Fiduciary Studies, the standards-setting body of fi360.

ITEM 3 – DISCIPLINARY INFORMATION

Gabriella Sheffield has no legal or disciplinary events that are material to you or a prospective client’s evaluation of this advisory business.

ITEM 4 – OTHER BUSINESS ACTIVITIES

The principal business of Gabriella Sheffield is that of an investment advisor representative and provider of financial planning services.

ITEM 5 – ADDITIONAL COMPENSATION

Other than work with NWAM, LLC dba Northwest Asset Management and any disclosures made in Items 2 and 4 above, Gabriella Sheffield receives no additional compensation related to outside business activities.

ITEM 6 – SUPERVISION

Gabriella Sheffield is not a supervising authority at NWAM, LLC dba Northwest Asset Management but does work closely with and is monitored by the supervising member of the firm. The supervising member is Gregory A. Headrick; who remains aware of and keeps us in compliance with the current rules and regulations put forth by each ruling regulatory authority where we conduct our business.

Gregory A. Headrick is located at 2835 82nd Avenue SE, Suite 100, Mercer Island, Washington 98040 and can be reached by calling (206) 838-3680.